

CHAPTER: <b>APPLICATION</b>	SECTION: <b>CASE RECORD</b>	COMAR: <b>07.03.03.04</b>
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## REQUIREMENTS

- A. In general, the case record contains non-CARES documents and those stored within CARES which require a signature
- B. The local department determines the layout of the record
  1. Each Family Investment case manager follows the local department's prescribed layout to facilitate locating materials
  2. Each local department may require specific documents to be in the record
- C. Remove documents which no longer apply to current eligibility from the current case record and put them in a retired case record folder
  1. Retain retired case information in the local department for one year
  2. After a year, the retired case folders may be shipped to the Jessup warehouse
  3. Retain case record information for 3 years after the case closes or after the last appeal decision related to that record

## DOCUMENTS – NEVER RETIRED – ACTIVE CASE

- A. The following documents are signed and dated at initial application and are kept in the active case record until the case closes
  1. **DHR/FIA CARES 9700 – Assistance Request Form**
  2. **DHR/FIA CARES 9707 - Rights and Responsibilities**
  3. **DHR/FIA 1176 – MCO Consent for Release of Confidential Alcohol/ Drug Treatment**
    - A minor who becomes a parent after the case is active signs a form after the initial application
  4. **DHR/FIA/FIP 1800 – Rights and Responsibilities for Child Specific Benefit**
- B. The forms listed in A above must be signed again if the case closes and reopens at a later date

**Note:** Some local departments may have a new Form 9707 signed at each recertification and retire the former one. Other local departments may review the original 9707 with the customer and have it initiated at each recertification.

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- C. **DHR/FIA/FIP 1800 – Rights and Responsibilities for Child Specific Benefit** is signed and dated during the initial application
1. The notification date does not change, even if the case closes and reopens
  2. If a case closes and re-opens, keep the original **Form 1800** in the active case record
  3. If a minor parent leaves an assistance unit and opens his or her own case, a new form is signed and a new notification date is entered on CARES
- D. Verifications that do not change may be copied and kept in the case record
1. Examples include:
    - Social Security Card
    - Birth Certificates
  2. If the case closes and re-opens, keep these verifications in the current record

**Note:** Some local departments will use the original case record folder when a case reopens and retire information that is no longer pertinent to current eligibility. Others may set up a new folder and move information from the closed record that is still applicable.

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## **DOCUMENTS – RETIRED AT REDETERMINATION OR ANNUALLY**

- A. Retain the following documents in the case record until the next recertification
1. **DHR/FIA CARES 9701** Eligibility Determination Document (EDD) or CARES printout
    - A new EDD is needed at each recertification
  2. Current verifications (subject to change)
    - Earned income verification is needed at each recertification
    - Unearned income verification is needed at each recertification, except when changes are known and predictable
      - a. Unemployment insurance verification is needed at the recertification, but Social Security Benefits are mass changed and then verified at the first recertification after the change
      - b. Some unearned income verified by the case manager through MABS and SVES
- B. Retain the following documents in the case record, then retire them annually
1. **DHR/FIA 1130 – Verification of Rent and Living Arrangements**
    - Required verification annually, unless
    - The family moves which requires new verification
  2. **DHR/FIA 1131– Preventive Health Care Form**
    - Required verification annually if child is 6 or younger in the calendar year
    - Retire forms earlier if all individuals are 7 and older and all health bonuses were paid in the calendar year
  3. **DHR/FIA 604 School Verification Form**
  4. **DHR/FIA 604A – School Attendance Form**, or alternate proofs
  5. Unearned income verification that changes annually
  6. Other alternative verifications and locally required verifications

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## **DOCUMENTS – RETAINED UNTIL NO LONGER APPLICABLE TO CURRENT CASE SITUATION**

- A. Some documents do not have a specific retirement schedule because the information affects eligibility for varying periods
- B. Some examples are:
  1. Medical verification for disabilities
    - Require new medical proof at the end of the specified disability period, but at least annually
    - If the individual is an SSI candidate, retain medicals, **Form 402Bs** and supporting documentation until the SSI decision is made
  2. Correspondence with the Employment Team
  3. Conciliation letters
    - May want to retain these permanently since only one conciliation period is allowed for non-compliance with child support, work, DEAP/TCA, and substance abuse requirements
  4. Supervisory Review System findings
  5. Quality Control findings
  6. Individualized letters
  7. **DHR/FIA 1176 – Screening Referral**
    - Retain until treatment is completed
    - Retain all other substance abuse treatment information in the record for 6 months – 1 year after the treatment is completed
  8. All other pertinent documents, such as referrals or documentation related to overpayments or fraud